

**Official****PATENT**  
Docket No. 35103-018001**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In Re U.S. Patent Application

Applicant: Hauk, et al.

Serial No.: 09/540,601

Filed: March 31, 2000

For: **VIRTUAL TRADING FLOOR  
SYSTEM**

Examiner: Richard Fults

Art Unit: 2768

**CERTIFICATE OF TRANSMISSION**  
**UNDER 37 C.F.R. §1.8 (a) and M.P.E.P. §512.**

I hereby certify that this AMENDMENT  
UNDER 37 C.F.R. §1.115 is being sent via  
facsimile transmission to the United States  
Patent and Trademark Office to fax number  
(703) 746-7239 on May 15, 2002.

By: Joseph H. Provin, Jr.Signature: [Signature]**PRELIMINARY AMENDMENT**

Via Facsimile (703) 746-7239

BOX NO FEE AMENDMENT  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Applicants respectfully submit the following amendment to the above referenced patent application and request that the application be considered in view of the same.